



5/13/04
PH
#25

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Ballard

Serial No. 09/454,492

Group Art Unit: 3624

Filed: December 6, 1999

Examiner: Weisberger

For: Remote Image Capture with Centralized Processing and Storage

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RECEIVED

APR 02 2004

Technology Center 2600

Dear Sir:

Further in response to the Office Action mailed October 8, 2002, and as mentioned in the Response to Requirement for Information mailed December 17, 2003, Applicant wishes to bring certain items of information to the attention of the Patent and Trademark Office relative to this application. These items of information are listed on the enclosed PTO/SB/08.

A copy of each reference that was not previously of record in the parent to this application is enclosed. Each reference is in the English language. As such, no additional statement of relevance is provided in this paper.¹

Because this information is submitted after receipt of a first Office Action on the merits, but before a final rejection or allowance, payment of the fee due under 37 C.F.R. §1.17(p) is

¹ 37 C.F.R. §1.98(a)(3).

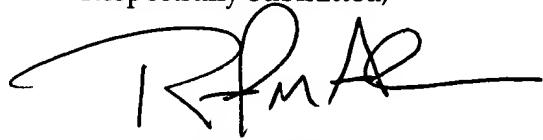
enclosed, in the form of our firm check, and the enclosed Fee Transmittal (PTO/SB/17), which authorizes any additional fee to be charged to deposit account 01-1615.²

These items of information were brought to the attention of the assignee by an adverse party in litigation, relative to patents through which this application claims priority. The relevant lawsuit, namely *DataTreasury Corp. v. RDM Corp. a.k.a. Research Development and Manufacturing Corp.*, Cause No. 3-02CV2641-M, In the United States District Court for the Northern District of Texas, Dallas Division, was specified in the Response to Requirement for Information mailed by the undersigned on December 17, 2003. As mentioned in that Response, on information and belief, the litigation against RDM Corp. has settled, with RDM agreeing to a license under the asserted patents on June 3, 2003.

By citing these items of information, Applicant does not admit that any of this information is, or is considered to be, material to the patentability of any of the claims of this application.³

Consideration of this information in this application is respectfully requested.

Respectfully submitted,



Rodney M. Anderson

Registry No. 31,939

Attorney for Applicant

Anderson, Levine & Lintel, L.L.P.

14785 Preston Road, Suite 650

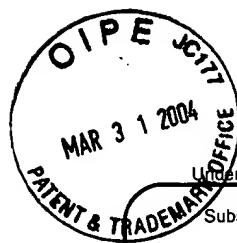
Dallas, Texas 75254

(972) 664-9554

March 29, 2004

² 37 C.F.R. §1.97(c).

³ 37 C.F.R. §1.97(h).



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Use as many sheets as necessary)

(Use as many sheets as necessary)

Sheet

1

of

5

Complete if Known

Application Number	09/454,492
Filing Date	Dec. 6 1999
First Named Inventor	Ballard
Art Unit	3624
Examiner Name	Weisberger
Attorney Docket Number	DATA.P01CIPDIV

U. S. PATENT DOCUMENTS

RECEIVE

APR 02 2004

Technology Center 2600

FOREIGN PATENT DOCUMENTS

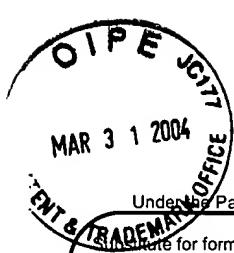
FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)			

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

***EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Use for form 1449/PTO

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

2

of

5

Complete if Known

Application Number	09/454,492
Filing Date	Dec. 6, 1999
First Named Inventor	Ballard
Art Unit	3624
Examiner Name	Weisberger
Attorney Docket Number	DATA.P01CIPDIV

RECEIVED
APR 02 2004
Technology Center 2600

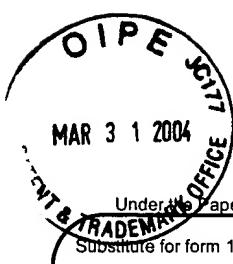
NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		HOMA, "MICR Technology Helps Eliminate POS Check Fraud", Chain Store Age Executive, (Sept., 1991).	
		"Special Report: Fine Tuning the Terminal Picture", Computerworld, (August, 1983).	
		GAWEN, "PC Based Document Image Processing and Signature Verification", Proceedings of the Information & Image Management Conference, (1991), pp. 389-391.	
		CRONE, "Reducing Data Processing Costs with a Remote Item Processing System", Bank Administration, (Oct., 1986), pp. 44-46.	
		INSPEC search with abstracts.	
		ATZEL, (email to Hambro, Oct. 9, 2001).	
		"At Your Service...", (Federal Reserve Bank of Kansas City, 1995).	
		ROLDAN, Jr., "Image Quality White Paper", (FSTC, 1999).	
		"FSTC Projects: The Bank Internet Payment System (BIPS): Leading the Way to Electronic Commerce", (FSTC, 2003).	
		"About FSTC: FSTC History", (FSTC, 2003).	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.
 This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



PTO/SB/08B (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

3

of

5

Complete if Known

Application Number	09/454,492	RECEIVED
Filing Date	Dec. 6, 1999	APR 02 2004
First Named Inventor	Ballard	Technology Center 2600
Art Unit	3624	
Examiner Name	Weisberger	

Attorney Docket Number

DATA.P01CIPDIV

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		"Financial EDI over the Internet", (Bank of America, 1996).	
		"Understanding EDI", (1996).	
		"IBM X9.46 Pilot Status - Summary", (date unknown).	
		"ICI Project Security Work Session", (May 10, 1996).	
		ANDERSON, "Electronic Check and Check Law", (letter to Robert Ballen, April 8, 1996).	
		DOWDELL, "Security", (email to fstc-image, April 27, 1996).	
		"IBM FSTC Pilot Status".	
		"FSTC Image Exchange", (May 21, 1996).	
		"FSTC Check Image Quality Subproject", (date unknown).	
		"FSTC Interbank Check Imaging: Unisys Monthly Status Report (June 26, 1996).	

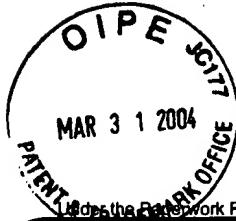
Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO				Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Application Number	9/454,492	
				Filing Date	Dec. 6, 1999	RECEIVED
				First Named Inventor	Ballard	
				Art Unit	3624	APR 02 2004
Examiner Name	Weisberger	Technology Center 2600				
Sheet	4	of	5	Attorney Docket Number	DATA.P01CIPDIV	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		"The Wachovia Story" (Research, Development) Manufacturing Corporation, (1993).	
		MARIANOVIC, "Payment Groups Square Off Over Electronic Check Plan", (American Banker, date unknown).	
		FITCH, "Digital image systems speed return items, exceptions", (Corporate Cashflow, May, 1996).	
		JANUSKY, "FSTC Interbank Check Imaging", (May 22, 1996).	
		"NCReports: Financial Services Trends and Technologies", Vol. 1, Issue 7 (NCR, 1997).	
		"NCReports: Financial Services Trends and Technologies", Vol. 1, Issue 8 (NCR, 1999).	
		"NCReports: Financial Services Trends and Technologies", Issue 1 (NCR, January, 1997).	
		"NCReports: Financial Services Trends and Technologies", Issue 2 (NCR, February, 1997).	
		"NCReports: Financial Services Trends and Technologies", Issue 3 (NCR, March, 1997).	
		"NCReports: Financial Services Trends and Technologies", Issue 4 (NCR, 1997).	

Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.
 This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:
 Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



MAR 31 2004

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	09/454,492	RECEIVED APR 02 2004 Technology Center 2600
Filing Date	Dec. 6, 1999	
First Named Inventor	Ballard	
Art Unit	3624	
Examiner Name	Weisberger	
Attorney Docket Number	DATA.P0CIPDIV	

Sheet

5

of

5

NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
		NCReports: Financial Services Trends and Technologies", Issue 5 (NCR, 1997).
		NCReports: Financial Services Trends and Technologies", Vol. 1, Issue 6 (NCR, 1997).
		"Image Processing Survival Guide, Vol. 11: Sure-Fire Strategies for Implementing Image Remittance", (Philips Business Information, Inc., 1996)."
		"eCheck: Homepage", (2003).
		VERMEIRE, "Prosecution of Check Image Patent", (letter to Hanna, July 11, 1997).
		"FSTC Interbank check Imaging: Unisys Monthly Status Report", (July 22, 1996).
		JANUSKY, "FSTC Interbank Check Imaging", (April 29, 1996).
		"SurePOS ACE Electronic Payment Support PRPQ for 4690 OS", Version 1, Release 5 (IBM, 1998, 2002).
		ANSI Standard X9.46-1995, "Financial Image Interchange: Architecture, Overview, and System Design Specification", (ANSI, 1995).
		ANSI Standard X9.46-1997. "Financial Image Interchange: Architecture, Overview, and System Design Specification", (ANSI, 1997).

Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.
 This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

MAR 3 1 2004

PTO/SB/17 (10-03)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEES TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT **(\$)** 180

Complete if Known

Application Number	09/454,492
Filing Date	December 6, 1999
First Named Inventor	Ballard
Examiner Name	Weisberger
Art Unit	3624
Attorney Docket No.	DATA.P01CIPDIV

RECEIVED

APR 03 2004

Technology Center 2600

METHOD OF PAYMENT (check all that apply)

Check Credit card Money Order Other None

Deposit Account:

Deposit Account Number
01-1615

Anderson, Levine & Lintel

The Director is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) or any underpayment of fee(s)
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEES CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee			
1002 340	2002 170	Design filing fee			
1003 530	2003 265	Plant filing fee			
1004 770	2004 385	Reissue filing fee			
1005 160	2005 80	Provisional filing fee			
SUBTOTAL (1)		(\$) 0			

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X =	
Multiple Dependent	- 3** =	X =	

Large Entity	Small Entity	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$) 0

*or number previously paid, if greater; For Reissues, see above

FEES CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath			
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet			
1053 130	1053 130	Non-English specification			
1812 2,520	1812 2,520	For filing a request for ex parte reexamination			
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action			
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action			
1251 110	2251 55	Extension for reply within first month			
1252 420	2252 210	Extension for reply within second month			
1253 950	2253 475	Extension for reply within third month			
1254 1,480	2254 740	Extension for reply within fourth month			
1255 2,010	2255 1,005	Extension for reply within fifth month			
1401 330	2401 165	Notice of Appeal			
1402 330	2402 165	Filing a brief in support of an appeal			
1403 290	2403 145	Request for oral hearing			
1451 1,510	1451 1,510	Petition to institute a public use proceeding			
1452 110	2452 55	Petition to revive - unavoidable			
1453 1,330	2453 665	Petition to revive - unintentional			
1501 1,330	2501 665	Utility issue fee (or reissue)			
1502 480	2502 240	Design issue fee			
1503 640	2503 320	Plant issue fee			
1460 130	1460 130	Petitions to the Commissioner			
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)			
1806 180	1806 180	Submission of Information Disclosure Stmt			180
8021 40	8021 40	Recording each patent assignment per property (times number of properties)			
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))			
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))			
1801 770	2801 385	Request for Continued Examination (RCE)			
1802 900	1802 900	Request for expedited examination of a design application			

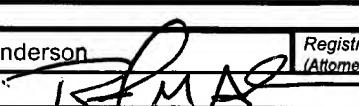
Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) **(\$)** 180

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Rodney M. Anderson	Registration No. (Attorney/Agent)	31,939	Telephone	972.664.9554
Signature				Date	29 March 2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.